

11032 U.S. PTO  
03/27/01

PATENT  
ATTORNEY DOCKET NO.: 041465-5103

11002 U.S. PTO  
09/01/246  
03/27/01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents  
**BOX PATENT APPLICATION**  
Washington, D.C. 20231

**TRANSMITTAL FOR A NEWLY EXECUTED ORIGINAL APPLICATION  
UNDER 37 C.F.R. §1.53(b)**

This is a request for filing a patent application under 37 C.F.R. §1.53(b) for:

Inventors: Naoaki HORIUCHI and Shinichi GAYAMA

For: AV INFORMATION PROCESSING UNIT AND INFORMATION RECORDING  
MEDIUM, IN WHICH AV INFORMATION PROCESSING PROGRAM IS  
RECORDED SO AS TO BE CAPABLE OF BEING READ BY COMPUTER

1. This is a new ☒ **Utility** ☐ **Design** ☐ **Plant** patent application.
2. The papers enclosed to obtain a filing date are as follows:
  - 48 Pages of Specification including
  - 0 Title Page
  - 8 Pages of Claims
  - 1 Page of Abstract
  - 6 Sheets of drawings containing 9 Figures
  - ☐ The enclosed drawing(s) are photograph(s), and there is also attached a PETITION TO ACCEPT PHOTOGRAPH(S) AS DRAWING(S)
3. Combined Declaration and Power of Attorney
  - ☒ Enclosed and is executed by all inventors.
  - ☐ Not Enclosed.

This application is being filed under the provisions of 37 C.F.R. §1.53(f).  
Applicant(s) await notification from the Patent and Trademark Office of the time  
set for filing the Declaration and paying the filing fees.

## 4. Language

☒ English☐ Non-English

This application is being filed in accordance with 37 C.F.R. §1.52(d) and §608.01 of the MPEP. Applicant(s) await notification from the Patent and Trademark Office of the time set for filing the verified English translation and the processing fee.

## 5. Assignment

☒ An assignment of the invention to PIONEER CORPORATION and a PTO Form-1595, Recordation Form Cover Sheet, are enclosed.

☐ An assignment will be filed at a later date.

## 6. Priority - foreign applications under 35 U.S.C. §119(a)-(d) or §365(b) or PCT international applications under 35 U.S.C. §365(a) designating at least one country other than the U.S.

☒ Priority of the following foreign application is claimed:

Country	Application No.	Filed
Japan	2000-92992	March 28, 2000

Certified copy: ☒ is attached. ☐ will follow.

## 7. Priority based on provisional application(s) - 35 U.S.C. §119(e)

☐ Priority of the following provisional application(s) is claimed:

Application No.	Filed

## A. Relate Back - 35 U.S.C. §119(e)

☐ Amend the specification by inserting before the first line the sentence:  
 "This application claims priority of copending provisional application(s)  
 No. \_\_\_\_\_ filed on \_\_\_\_\_."

## 8. Small entity status

☐ A statement claiming small entity status under 37 C.F.R. §§1.9 and 1.27 is enclosed.

## 9. Fee Calculation (37 C.F.R. §1.16)

CLAIMS FOR FEE CALCULATION				
	Number Filed	Number Extra	at Rate of	Basic Fee Utility \$710.00 Design \$320.00
Total Claims (37 C.F.R. §1.16(c))	22 - 20 =	2	\$ 18.00 each=	\$36.00
Independent Claims (37 C.F.R. §1.16(b))	2 - 3 =	0	\$ 80.00 each=	\$0.00
Multiple dependent claim(s), if any (37 C.F.R. §1.16(d))			\$270.00	+
SUB-TOTAL =				\$746.00
Reduction by 1/2 for filing by a small entity				- \$
TOTAL FILING FEE =				\$746.00

## 10. Fee Payment

☐ Not Enclosed. **NO FEE IS BEING PAID BY CHECK OR DEPOSIT ACCOUNT AT THIS TIME.**

This application is being filed under the provisions of 37 C.F.R. §1.53(f).  
 Applicant(s) await notification from the Patent and Trademark Office of the time set for filing the Declaration and paying the filing fees.

[X] Enclosed.

Two checks in the amounts of \$ 746.00 and \$40.00 representing the basic filing fee of \$710.00, additional claims fee of \$36.00 and an assignment recording fee of \$40.00 are enclosed.

11. [X] **Except** for issue fees payable under 37 C.F.R. §1.18, the Commissioner is hereby authorized by this paper to charge any additional fees during the entire pendency of this application including fees due under 37 C.F.R. §§1.16 and 1.17 which may be required, including any required extension of time fees, or credit any overpayment to Deposit Account 50-0310. This paragraph is intended to be a **CONSTRUCTIVE PETITION FOR EXTENSION OF TIME** in accordance with 37 C.F.R. §1.136(a)(3).

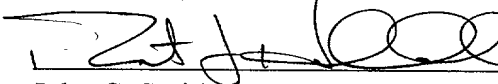
12. Additional papers enclosed:

- [X] Formal Drawings - 6 sheets containing 9 figures
- [ ] Preliminary Amendment
- [ ] Information Disclosure Statement
- [ ] Form PTO-1449, \_\_\_ document included
- [ ] Declaration of Biological Deposit
- [ ] Submission of "Sequence Listing", computer readable copy and/or amendment pertaining thereto for biotechnology invention containing nucleotide and/or amino acid sequence.

**Please accord this application an application number and filing date.**

Respectfully submitted,

**MORGAN, LEWIS & BOCKIUS LLP**



for John G. Smith  
Reg. No. 33,818

Reg. No. 44,479

Dated: March 27, 2001

**Customer No. 009629**

**MORGAN, LEWIS & BOCKIUS LLP**

1800 M Street, N.W.

Washington, D.C. 20036

(202) 467-7000

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Naoaki HORIUCHI et al. )  
Application No.: Unassigned )  
Filed: March 27, 2001 )  
For: AV INFORMATION PROCESSING UNIT )  
AND INFORMATION RECORDING )  
MEDIUM, IN WHICH AV INFORMA- )  
TION PROCESSING PROGRAM IS )  
RECORDED SO AS TO BE CAPABLE )  
OF BEING READ BY COMPUTER )

Group Art Unit: Unassigned

Examiner: Unassigned



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**SUBMISSION OF FORMAL DRAWINGS**

Filed herewith are six (6) sheets of formal patent drawings containing nine (9) figures. It is requested that these drawings be approved and made part of the official record in the above-identified patent application.


If there are any fees due in connection with the filing of these drawings, please charge the fees to our Deposit Account No. 50-0310. If a fee is required for an extension of time under 37 C.F.R. 1.136 not accounted for above, such an extension is requested and the fee should also be charged to our Deposit Account.

Respectfully submitted,

**MORGAN, LEWIS & BOCKIUS LLP**

Dated: March 27, 2001

Customer No. 009629  
**MORGAN, LEWIS AND BOCKIUS LLP**  
**1800 M STREET, N.W.**  
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for John G. Smith  
Reg No. 33,818  
Reg. No. 44,479